DT15 Rec'd PCT/PTO JUN 2 6 2002

FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (REV 11-2000)

TRANSMITTAL LETTER TO THE UNITED STATES

3286US

2

DESIGNATED/E. CONCERNING A FIL	PLICATION NO. (If known, see 37 CFR 1.5) 10/009,671						
INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED					
PCT/JP00/02968	10.05.00 (10 May 2000)	11.05.99 (11 May 1999)					
TITLE OF INVENTION OPTICAL HEAD							
APPLICANT(S) FOR DO/EO/US Daisuke OGATA, Katuhiko YAS							
Applicant herewith submits to the unite	Applicant herewith submits to the united States Designated/Elected Office (DO/EO/US) the following items and other information:						
1. This is a FIRST submis	☐ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.						
_	This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.						
	This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.						
	by the expiration of 19 months from	the priority date (Article 31).					
5. A copy of the Internatio	nal Application as filed (35 U.S.C. 37	71(c)(2))					
 b. has been commun 	(required only if not communicated laticated by the International Bureau. the application was filed in the Unite						
6. An English language tra	An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).						
7.	ms of the International Application un	nder PCT Article 19 (35 U.S.C. 371(c)(3))					
b. have been commuc. have not been ma	 b. have been communicated by the International Bureau. c. have not been made; however, the time limit for making such amendments has NOT expired. 						
8.	slation of the amendments to the claims	under PCT Article 19 (35 U.S.C. 371(c)(3)).					
9. An oath or declaration of	f the inventor(s) (35 U.S.C. 371(c)(4)).					
10. An English language trai PCT Article 36 (35 U.S.C		ional Preliminary Examination Report under					
	cuments(s) or information included are Statement under 37 U.S.C. 1.97 ar						
12. An assignment document for	or recording. A separate cover sheet in co	ompliance with 37 CFR 3.28 and 3.31 is included.					
13. A FIRST preliminary am	endment.						
14. 🖂 A SECOND or SUBSEC	UENT preliminary amendment.						
15. A substitute specification	n.						
16. A change of power of att	forney and/or address letter.						
17. A computer readable form of	of the sequence listing in accordance with	PCT Rule 13ter.2 and 35 U.S.C. 1.821 – 1.825.					
18. A second copy of the publis	hed international application under 35 U.	S.C. 154(d)(4).					
_	sh language translation of the internationa						
_	Certificate of Express Mail; Copy of	f 371 Formalities Letter; copy of English,					
Claims as originally filed							

١		PPLICATION NO. (If known, see 37 CFR 1.5) INTERNATIONAL APPLICATION NO. PCT/JP00/02968		MTS-3286US				
ŀ	21.	The follow	ing fees mitted:).C	CULATIONS PTO USE ONLY	
	BASIC NATIONAL FEE (37 CFL 2(a)(1) – (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1040.00							
	International preliminary examination fee (37 CFR 1.482)not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00							
	International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00							
	International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)							
	International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4)							
]	ENTER APPROP	RIATE BASIC FI	EE AMOUNT =	\$		
		s from the earliest cl	urnishing the oath or declaring date (37)	CFR 1.492(e)).		\$ 130.	.00	
ļ	Total c	CLAIMS	NUMBER FILED - 20 =	EXTRA NUMBER	RATE X \$18.00	\$		
ŀ		ndent claims	-3 =		X \$84.00	\$		
ŀ			T CLAIM(S) (if applica	ble)	+ \$280.00	\$	-	
Ì				OF ABOVE CAL	CULATIONS =	\$ 130.	.00	-
		pplicant claims sma re reduced by ½.	ll entity status. See 37 C	CFR 1.27. The fees ind	icated above	\$		
					SUBTOTAL =	\$ 130.	.00	
			for furnishing the Englis aimed priority date (37	CFR 1.492(f)).	+	\$		
Į					ΓIONAL FEE =	\$,	
	Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +					\$ 40.0	00	
١				TOTAL FEES	ENCLOSED =	\$ 170	.00	
İ							Amount to be refunded:	\$
١			<u> </u>				Charged:	\$
	a.							
7	b. Please charge my Deposit Account No in the amount of \$ to cover the above fees. A duplicate copy of this sheet is enclosed.							
	c. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 18-0350. A duplicate copy of this sheet is enclosed.							
	d. Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.							
	NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.							
	SEND ALL CORRESPONDENCE TO: Allan Ratner							
	RatnerPrestia P.O. Box 980 Valley Forge, PA 19482							
	Tel: (610) 407-0700 Fax: (610) 407-0701 Allan Ratner NAME							
GF	REY1	00000148 100096	71		19,717 REGISTRATION NUM	MBER		
		1	30.00 OP					
					June 26, 2002 DATE			

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07/01/2002 01 FC:154

CERTIFICATE OF MAI Applicant(s): D. Ogata et	LING EXPRESS MAI	L" (37 CFR 1.10)	Docket No. MTS-3286US			
Serial No.	Filing Date	Examiner	Group Art Unit			
	,	Examinei	Group Art Offic			
10/009,671	Herewith					
Invention: OPTICAL HEA	AD					
I hereby certify that the fo	ollowing correspondence:					
Form PTO-1390 (in du	plicate) and its related enclos	sures				
		·				
Is being denosited with th		f <i>correspondence)</i> "Express Mail Post Office to Address	see" service under 37			
CFR 1.10 in an envelope	addressed to:		see service under 37			
The Assistant Commission	oner for Patents, Washington, D.	C. 20231 on June 26, 2002				
		Kathleen Libby				
	(Typed or Printed Name of Person Mailing Correspondence)					
		Kathleen	Lilly			
	(Signature of Person Mailing Correspondence)					
EV050915253US						
("Express Mail" Mailing Label Number)						
Note: Each paper must have its own certificate of mailing.						
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Commissioner for Patents, Box PCT United States Patent and Trademark Office Washington, D.C. 20231

FIRST NAMED APPLICANT ATTY. DOCKET NO. U.S. APPLICATION NUMBER NO. MTS-3286US 10/009.671 Daisuke Ogata INTERNATIONAL APPLICATION NO. PCT/JP00/02968 PRIORITY DATE I.A. FILING DATE Allan Ratner APR 1 5 2002 05/10/2000 05/11/1999

Ratner & Prestia P O Box 980 Valley Forge, PA 19482

RATNER & PRESTIA

CONFIRMATION NO. 8269

371 FORMALITIES LETTER

OC000000007820248

Date Mailed: 04/09/2002

06/09/02 06/09/02 NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination

The following items MUST be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Translation of the application into English. The current translation of the application into English is defective as described below.
 - The number of claims in the International Application and the number of claims in the translation are not the same.
 - MISSING CLAIM NUMBER 5
- Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 30 months from the priority date (37 CFR 1.492(f)).
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:

- is not executed in addance with either 37 CFR 1.66 or 37 C
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$260 for a Large Entity:

- \$130 Late oath or declaration Surcharge.
- \$130 for English translation surcharge required.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

A copy of this notice MUST be returned with the response.

FREDERICK SMITH

Telephone: (703) 305-3654

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY, DOCKET NO.
10/009,671	PCT/JP00/02968	MTS-3286US

FORM PCT/DO/EO/905 (371 Formalities Notice)